



State of Utah

Product Description

Product Number: 4207.02.15

UNIFORM COMMERCIAL CODE AND CENTRAL FILING SYSTEM (UCC/CFS)

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Revision Date:
Version: 1.1.0
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The Uniform Commercial Code and Central Filing System (UCC/CFS) application is a web application which administers the registration of secured transactions for commercial and agricultural transactions. It is a browser based application, written in JAVA for a Linux operating system.

UCC/CFS was written for N-tiered architecture, hosted on a DTS standard Linux platform. The application server (itas03spr.dts.utah.gov) and development server (itas02sat.dts.utah.gov) are provided in a Virtual server environment, utilizing DTS SAN storage for the Oracle database and data repository.

The production database server (itdb28spr.utah.gov) and acceptance testing database server (itdb30spr.dts.utah.gov) are also supported in a virtual server environment on a DTS standard Linux configuration.

The database is currently hosted on ITDB28SPR as LPD1 (instance br_uccfiling). The application is available within the State of Utah firewalls only, and protected by a username and password distributed by the application administer

The UCC/CFS application interfaces with a third-party hosting group (Utah Interactive) for public access, filing, and searches. As an added value service to the public access, Utah Interactive imports the record of filings to the Commerce Imaging Application also hosted at DET.

The hours of support required for Uniform Commercial Code and Central Filing System are listed below.

Application	Support Hours	Days of Week
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UCC and CSF - Application	8:00 a.m. - 5:00 p.m.	Monday - Friday, except for legal holidays
UCC and CFS - Network and Hosting	24 hours each day	7 days per week, 365 days per year

UCC and CFS services require 24x7x365 access and network support as customers of the agency reside around the world, and must be able to query data and submit information at any time.

Product Features and Descriptions

Feature	Description
Secured transaction Registration	Allows on-line, real-time filing of commercial/agricultural transactions liens that occur if the collateral resides within the State of Utah. Also allows annual continuations, terminations and amendments to original filing
Cashiering	Maintains record of receipt by transaction. Searchable by receipt or filing number
Collateral	Details commercial collateral as well as agricultural
Transaction Management	Manages status of transactions that are made active or inactive depending on the filings requirements and allows correction and completion of these transactions.
Reporting	Generates reports for accounting and administration to assist with the above features and the management of data integrity and timeliness of data entry.
Interfaces with 3rd Party Applications	Allows for application interfaces through 3rd party provider (Utah Interactive). These include: Real-time new filings, amendments, general searches by debtor in addition to certified searches. Record of filing is imported directly to Commerce Imaging Application also hosted by DET.
Data Extracts	Monthly, weekly and yearly data extract requests filed under GRAMA or as an added value service provided by Utah Interactive (UII) sent to various other public and private and 3rd parties. Custom tailored extracts are performed by DTS assigned personnel.
Up Time	UCC/CFS is required to be up and operational 24/7 except during scheduled maintenance. The database is also required to be up 24/7 except during scheduled maintenance. Neither the application nor database servers may be shut down without prior acknowledgment, coordination with, and approval by The Division of Corporations & Commercial Code and DTS staff assigned to Commerce.
Backup	Incremental backups to be run each night for the entire server. Incremental backups to be run on Oracle database instance.

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Proactive Problem Solving	Proactive identification of problems and processes with suggestions for improvement.
Versioning and Licensing	Current supported product versions, patches, license compliance and vendor support of hosting products.
Diagnostic Tools and Problem Resolution	Use of state of the art diagnostic tools to enhance performance and problem resolution.
Security Monitoring and Compliance	Security monitoring using available tools to ensure appropriate and complete security.
Coordination with Third-Party providers	Coordinate with third party providers for services or functions under approved statement of work or other contractual agreement and as required by the agency. This includes the exchange of information and data as stipulated.

Features Not Included

Feature	Explanation
User Training	DTS support does not include the updating of user training manuals, user training, or business requirements document. DTS provides training when changes to application are required.
Application Help Desk	DTS support does not include a user application help desk. This is handled through the creation of an appropriate incident ticket.
Application Support	Application troubleshooting is the responsibility of the customer.
Related DTS Services available on time and materials basis.	Available per DTS listing.

Rates and Billing

Feature	Description	Base Rate
Application DBA Support	Provide back-up support to the Division of Corporations DTS/Commerce Support Group. Perform modifications to the database needed to accommodate the implementation of change requests. Maintain stored procedures, which create data files for many of the application interfaces with 3rd party systems.	See DTS RATES as approved for fiscal year

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Project Support	Track tasks and coordinate programming and information analyst efforts for each UCC/CFS Release. Coordinate modifications to 3rd party systems that are impacted by changes being made in UCC/CFS. Coordinate testing of 3rd party interfaces and first round application testing for UCC/CFS releases. Ensure status of tasks is kept current. Stay tuned to any legislative changes that may be coming.	See DTS RATES as approved for fiscal year
Application Bug Fixes and Enhancements	Programming and unit testing of UCC/CFS and associated applications and interfaces to fix reported bugs, implement legislative changes, and implement enhancements that are approved and prioritized by the Division of Corporations.	Application programming services which are available through a consultant or a Solution Delivery provided programmer analysts.
Testing	Perform DTS regression test scripts and do first round of testing of bug fixes and enhancement requests assigned to each release.	See DTS RATES as approved for fiscal year
Desktop Support	Ensure all programs run efficiently, access to internet is available, and documents are able to print.	See DTS RATES as approved for fiscal year
Application Database Support	Database backups, restores, clones, monitoring and killing query processes that are adversely affecting production services.	See DTS RATES as approved for fiscal year
Application Server Support	UCC/CFS Acceptance Testing environment, Server updates, troubleshooting application failures.	See DTS RATES as approved for fiscal year
Hosting Support	DTS Enterprise Hosting Services	See DTS RATES as approved for fiscal year
Network Support	DTS Enterprise Network Services	See DTS RATES as approved for fiscal year
Security Services	DTS Enterprise Security Services	See DTS RATES as approved for fiscal year
One-time Charges	Setup	See DTS RATES as approved for fiscal year
Optional Services	Database Hosting Consulting (as needed)	See DTS RATES as approved for fiscal year
Related DTS Services	Services and products as specified by agency.	See DTS RATES as approved for fiscal year

Ordering and Provisioning

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Division of Corporations Director or representative will contact DTS/Commerce with request for services. These are then discussed and prioritized by the Division of Corporations Director and staff and presented to DTS for review.

DTS/Commerce support personnel report application bugs and requested features or enhancements directly to Division of Corporations Director. These are then discussed and prioritized by the Division of Corporations Director and staff and presented to DTS for review.

Full scope of the project is identified and agreed upon via series of interactive meetings and agreed upon work plan.

Troubleshoot and help desk services are user initiated via a REMEDY trouble ticket.

DTS Responsibilities

- Perform modifications or upgrades to UCC/CFS only when approved by the Agency.
- Programming and unit testing modifications to the application to fix reported bugs and implement enhancements to accommodate legislative mandated changes and changes in business practices.
- Advise division on DTS accepted/standardized practices.
- Provide project management for UCC/CFS Releases.
- Assist Department of Commerce Application Administrators in defining requirements for enhancements and legislative changes. Raise issues to Department of Commerce when decisions need to be made related to how a change should be implemented from a business perspective.
- Perform database updates, security patches and maintain overall database health.
- Provide on call support 24/7 for infrastructure components.
- Provide performance testing.
- Communicate changes being made to the UCC/CFS application to 3rd parties that interface with the UCC/CFS application. Coordinate testing of the interfaces with these applications 3rd Parties and other DTS State agencies that need to be made aware of changes.
- Create alter scripts for database changes required to support approved enhancements to the UCC/CFS application.
- Providing desktop support for equipment used to run the UCC/CFS application and print documents.
- Minimize the downtime of the UCC/CFS Application to ensure customer satisfaction.
- Provide Network support to ensure that UCC/CFS is up and operating 24/7.
- Provide Database support to ensure database instances are operating during hours when the application. Must be operational 24/7.
- Provide server hosting support for the instances of the UCC/CFS database needed to support the production and acceptance testing for UCC/CFS application.
- Provide management and administration for 3rd party applications that support the DTS development and change management processes. Ensure all changes are made with 3rd party interfaces.

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- Manage shared server environment, upgrade apply fix packs.
- Monitor and maintain the integrity of the network.
- Install, operate, and maintain the server hardware and operating server environments, including as appropriate, Linux, Apache, Tomcat, MySQL (exclusive of database administration), and others as required.
- Provide the tools to be used by each customer to develop their own instance of MySQL.
- Coordinate scheduled downtime with customers through the DET Change Management process
- Backup the system and source code/applications nightly. The customer is responsible for backup costs for data exceeding 5GB.
- Provide Siteminder WebAgent.

Agency Responsibilities

- Define business requirements for changes being requested in the UCC/CFS application.
- Report bugs discovered in the application. Identify what the user was doing when the bug occurred, any error messages encountered and steps to reproduce the problem.
- Perform Acceptance Testing of each UCC/CFS release, paying particular attention to bug fixes and requested enhancements that have been assigned to the build. Report any errors found in Application. Perform all pre-production requirements required by application including startup scripts, development, and acceptance testing prior to production deployment to be resolved in a manner that is responsive and within the time frame agreed upon between the Agency and DTS.
- Evaluate quality of each UCC/CFS release and give final approval to deploy the release.
- Provide application help desk support to staff in Division of Corporations Office and to public filers who are having trouble completing UCC/CFS filing necessary to service their customers. If there is a data problem that needs fixing to complete the transaction, report the problem to a DTS back-up support person or the designated person on call.
- Update training manual(s) and business requirement document(s) to reflect changes being made to the application. Train UCC/CFS users as necessary for deployments of UCC/CFS releases.
- Create and distribute release notes to inform Division of Corporations staff of changes in upcoming UCC/CFS releases. Create and distribute release notes for 3rd party so that they may be published for public users.
- Complete assignments and respond to requests in a timely manner.
- Provide consistent and reliable email and calendar support for UCC/CFS demands.

DTS Service Levels and Metrics

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In an effort to improve service to our customer agencies, DTS will measure and report on the following enterprise metric goals:

- Application Availability
- Resolution Time
- Initial Response
- First Contact Resolution
- Customer Satisfaction Surveys

Application Availability:

Application availability measures DTS' efforts to ensure agency key business applications meet the percent of availability goals identified in the agency Service Level Agreements (SLA). DTS will determine application availability based upon the collective measurement of the configuration items (both hardware and software) which are determinant to supporting the agency business services applications. These metrics will be reported each month by agency with a cumulative report showing DTS' efforts over several months and posted to the DTS Metrics web page at <http://dts.utah.gov/metrics/index.php>.

Metric Description	Target
Uniform Commercial Code and Central Filing System (UCC/CFS)	98.5%. Application will be supported during normal business hours; Monday – Friday 8:00 a.m. to 5:00 p.m. Networking and hosting will be supported 24 X 7 X 365.

Times exclude those tickets in a "Pending" status waiting a known bug fix.

Resolution Time:

Resolution time measure DTS' efforts to resolve customer incidents within the timelines set below based upon urgent, high, medium and low priorities. These metrics will be reported each month, by agency, with a cumulative report showing DTS' efforts over several months. These reports will then be posted on the DTS Metrics web page at: <http://dts.utah.gov/metrics/index.php>.

Total Time to Resolution	Target: Percent of Tickets Meeting Priority Timelines
Low priority - 6 Business hours	90%
Medium priority - 4 Business hours	90%
High priority – 3 Clock hours	90%
Critical priority - 3 Clock hours	90%

Initial Response:

Initial response measure DTS' efforts to respond to customer incidents within the timelines set below based upon urgent, high, medium and low priorities. These metrics will be reported each month by agency with a cumulative report showing DTS' efforts over several months. These reports will then be

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posted on the DTS Metrics web page at: <http://dts.utah.gov/metrics/index.php>.

Time to Initial Response	Target: Percent of Tickets Meeting Priority Timelines
Low priority – 1 Business hour	85%
Medium priority – 1 Business hour	85%
High priority – 1 Clock hour	90%
Critical priority – 30 Clock minutes	95%

First Contact Resolution:

First contact resolution measures DTS' efforts to resolve customer incidents on initial contact with either our help desk or a technical specialist. These metrics will be reported each month, by agency, with a cumulative report showing DTS' efforts over several months. These reports will then be posted on the DTS Metrics web page at <http://dts.utah.gov/metrics/index.php>.

Metric Description	Target
First Contact Resolution	65% of all incidents reported resolved on initial contact

Customer Satisfaction Surveys and Reporting:

All users/customers whose technical incidents are resolved by DTS staff will be given the opportunity to respond to an on-line survey regarding their level of satisfaction with the support received from DTS. Responding to the survey is voluntary.

The chart below identifies DTS enterprise goals for customer satisfaction. Cumulative monthly reports will be created displaying the customer's level of satisfaction with DTS support. These reports will then be posted on the DTS Metrics web page at <http://dts.utah.gov/metrics/index.php>.

Customer Satisfaction Target

Metric Description	Target
Average level of satisfaction with resolution efforts	≥ 4.5 on a scale of 0 - 5
Percentage of respondents expressing satisfaction (vs. dissatisfaction)	93% of respondents satisfied